

APPENDIX A
TECHNICAL QUALIFICATION PROGRAM ASSESSMENT OBJECTIVES AND CRITERIA

TQP-1 Demonstration of Competence: The program clearly identifies and documents the process used to demonstrate employee technical competence.		
Criteria	Justification	Rating
1.1 At a minimum, personnel providing management direction or oversight that could impact the safe operation of a defense nuclear facility have been identified as participants in the Technical Qualification Program (TQP).	<p>The Ohio Field Office (OH) has two former defense nuclear facilities, however to maintain flexibility in the use of detail assignments, the field office manager approved a recommendation to include all technical personnel at the Fernald, Mound, and West Valley facilities as participants in the Technical Qualification Program (TQP). Technical personnel in the Office of Compliance and Support provides technical assistance to all three facilities and are also included as participants in the TQP.</p> <p>Information on the identification and approval of TQP participants is included in section 5.0 of Procedure No. OH-40.T001.</p>	Positive
1.2 Individual Development Plans (IDPs), training plans, technical qualification records, or other related documents are updated to reflect the activities that each individual shall participate in to satisfy competencies.	An official file for each participant in the TQP and the Senior Technical Safety Manager program including Individual Development Plans, Technical Qualification Records (TQR), Training Plans and related documentation is maintained by the OH Technical Training Division. The files are updated as participants complete certification requirements.	Positive

TQP-1 Demonstration of Competence: The program clearly identifies and documents the process used to demonstrate employee technical competence

Criteria	Justification	Rating
1.3 A formal evaluation process is in place to objectively measure the technical competency of personnel. The rigor of the evaluation process is commensurate with the responsibilities of the position.	Each First-Level Supervisor at OH evaluates the participant's qualifications to ensure adequacy and verify that the participant can perform at the minimum required level and that competency requirements are met. When all competencies requirements are satisfied the First-Level Supervisor signs the TQR and schedules a review with the Second-Level Supervisor. After justification of findings by the First-Level Supervisor, the participant is interviewed and pending a successful assessment, the Second-Level Supervisor approves the TQR.	Positive

TQP-2 Competency Levels: Competency requirements are clearly defined and consistent with applicable industry standards for similar occupations.		
Criteria	Justification	Rating
2.1 Competency requirements include clearly defined knowledge, skill, and ability elements.	OH elected to use the functional standards approved by DOE-HQ. The competency requirements in those standards include the skills, knowledge, and abilities identified for each competency. Site specific competencies have been added as required for some positions.	Positive
2.2 Subject matter experts are involved in establishing competency requirements.	OH elected to use DOE-HQ-approved functional standards. Subject Matter Experts from across the DOE complex were involved in establishing skills, knowledge, and abilities required as well as the minimum level of performance for each functional area. Where required OH-specific competency requirements were added.	Positive
2.3 Consideration of related professional certification requirements is included in the program, as applicable.	The OH-TQP accepts professional certifications and where applicable, the certification is applied to the specific competency requirement.	Positive

TQP-2 Competency Levels: Competency requirements are clearly defined and consistent with applicable industry standards for similar occupations.

Criteria	Justification	Rating
<p>2.4 Competency requirements are identified in the areas listed below (Note: this does not imply that three separate documents are required.</p> <p>Basic Technical Knowledge: This includes basic fundamental knowledge of radiation protection, occupational safety, chemical safety, nuclear safety, environmental regulations, and other areas.</p> <p><u>Technical Discipline Competency:</u> Competency in a technical discipline (e.g., mechanical engineering, chemical engineering) which can be demonstrated by education, professional certification, examination or on-the-job performance.</p> <p><u>Position Knowledge, Skills, and Abilities:</u> Specific to the position and the Office.</p>	<p>By using the DOE-HQ approved functional standards, Oh has elected to also accept the competency requirements contained therein. Where applicable, site-specific competencies were added. The competency requirements have been established in three areas:</p> <p style="padding-left: 40px;">Primary Functional Standard General Technical Base Site Specific Standards</p>	Positive

TQP-3 Plans and Procedures: Plans and/or procedures are developed and implemented to govern the administration of the program.		
Criteria	Justification	Rating
3.1 The Technical Qualification Program has the commitment of the senior management.	The OH Manager approves all TQP participants. First and Second-Level Supervisors identifies TQP candidates, establish qualification requirements approves the TQR for their respective staff. Senior management supports additional training for the participants and allocates training budget to fulfill the commitment. Additionally, each participant receives an OH certificate (usually presented at an all-hands meeting) and congratulatory comments from the Field Office Manager. The Manager has also designated an agent to work on the Federal Technical Capability Panel.	Positive
3.2 Written procedures that adequately define the processes and requirements to implement the Technical Qualification Program are in place.	OH has developed a comprehensive set of policies and procedures to define the TQP The policies have been implemented and are currently being evaluated for updates to enhance the program.	Positive
3.3 Roles and responsibilities for the implementation of the Technical Qualification Program are clearly defined and understood by all involved.	Roles and responsibilities have been clearly defined in the OH procedures. To initiate the TQP, presentations highlighting program requirements were made at each site and the Technical Training Division worked closely with the Site Managers and their training coordinators to ensure the program's success. The OH FTCP Agent has been designated to oversee the TQP and his position description and performance standard include responsibilities and measurement criteria respectively for the same.	Positive

TQP-3 Plans and Procedures: Plans and/or procedures are developed and implemented to govern the administration of the program.		
Criteria	Justification	Rating
3.4 The procedures that govern the implementation of the Technical Qualification Program are understood by all involved, and are being implemented as written.	The Technical Training Division, working in conjunction with Site Managers, Site Training Coordinators, and Human Resources personnel, ensures that the TQP is implemented in accordance with OH procedures. At the inception of the program, presentations of program requirements were made at all participating sites. A recent survey conducted as part of this assessment indicates that some participants are not fully informed of some of the features of the program.	Positive
3.5 A training and qualification records system is established for each employee in the Technical Qualification Program.	The Training Division maintains an official TQP file on each approved participant. Training and qualification records are part of the file.	Positive

TQP-4 Qualification Tailored to Work Activities: The program includes the identification of unique Department and position-specific work activities, and the knowledge and skills necessary to accomplish that work.		
Criteria	Justification	Rating
4.1 An analysis has been performed to identify the related knowledge, skill, and ability elements to accomplish the duties and responsibilities for each Technical Qualification Program functional area or position.	An analysis has been performed to identify the related knowledge, skills, and abilities necessary to accomplish the responsibilities of each position in the OH-TQP. Where required, site-specific competencies were developed for use in addition to the competency requirements established as part of the DOE-HQ approved functional standards.	Positive
4.2 The program includes job-specific requirements related to the rules, regulations, codes, standards, and guides necessary to carry out the mission of the office.	The functional standard chosen as the primary standard for each OH-TQP position, the general technical base standard and the site-specific competencies all include requirements related to rules, regulations, codes, and DOE orders necessary to fulfill the mission at OH.	Positive
4.3 The program supports the mission needs of the office.	The OH-TQP supports the mission needs of the office. Since mission needs vary at participating sites, site specific requirements were utilized in some cases. All OH Facility Representatives positions as well as most Senior Technical Safety Manager positions. have site/facility specific competency requirements.	Positive

TQP-5 Credit for Existing Technical Qualification Program(s): The program is structured to allow credit, where appropriate, for other Technical Qualification Program accomplishments.		
Criteria	Justification	Rating
5.1 Credit (equivalency) is granted for previous training, education, experience, and completion of related qualification/certification programs, where applicable.	The First-Level Supervisor is required to make a determination of job performance competency and equivalencies are granted based upon that determination. The First and Second-Level Supervisors approves/disapproves justification for equivalencies to competency requirements.	Positive
5.2 Equivalency is granted based upon a review and verification of objective evidence such as transcripts, course certificates, test scores, or on-the-job experience.	Equivalencies are granted based upon a review and verification of objective evidence by the First-Level Supervisor.	Positive
5.3 Equivalencies are validated, approved, and documented in a formal manner.	DOE Order 360.1 provides guidance on documenting equivalencies and OH complies with that guidance. First and Second-Level Supervisors approves/disapproves justifications for equivalencies and the Training Division maintains a validated record of the justification as part of the participant's official TQP file.	Positive

TQP-6 Transportability: Competency requirements that are identified as having Department-wide applicability are transferable.		
Criteria	Justification	Rating
6.1 The program includes all of the competencies that have been identified as having Department-wide applicability.	OH utilized the DOE-HQ approved functional standard as a base and augmented the base standard with site-specific requirements. In utilizing the DOE standard, OH captured all of the DOE-wide competency requirements.	Positive
6.2 Formal documentation of the completion of Department-wide competencies is maintained in a manner that will allow for easy transferability.	OH utilized a systematic approach in documenting the completion of competency requirements, including DOE-wide requirements. Each individual TQR captures that documentation and makes for easy transferability.	Positive
6.3 The Technical Qualification Program is integrated with personnel-related activities such as position descriptions, vacancy announcements, recruiting, and performance appraisals.	A review of duties and responsibilities as delineated in position descriptions were included as part of the analysis performed on each position in the TQP. A procedure covering TQP requirements in vacancy announcements and recruiting was developed by the Training Division and Human Resources and approved by the Field Office Manager. The procedure is currently being implemented and the performance standard for the Senior Technical Advisor/FTCP Agent includes measurement criteria to ensure implementation of the procedure. Performance standards in general require modification to meet this assessment criteria.	Negative

TQP-7 Measurable: The program contains sufficient rigor to demonstrate compliance to the principles.		
Criteria	Justification	Rating
7.1 The technical competency of personnel who have completed the requirements of the Technical Qualification Program is adequate and appropriate.	Certification of qualifications for OH-TQP participants includes validated evidence of the adequacy and appropriateness of the participant's competency. All participants have academic degrees in their technical area and years of related experience in their fields. In a few cases where degree requirements were not satisfied, equivalencies were granted in accordance with the Office of Personnel Management guidance. In two cases, compensatory measures were established.	Positive
7.2 The program allows for continuous feedback and periodic evaluation to ensure that it meets the needs of the Department and the mission(s) of the office.	The Training Division provides periodic reports on the status of the TQP program to OH Senior Management. Additionally, the OH Senior Technical Advisor is required to ensure that the program meets all of the Department's objectives and periodically reports status to the Field Office Manager. A survey of TQP participants will be conducted twice annually to obtain feedback information.	Positive
7.3 The program includes provisions for continuing training.	The TQP provides for annual updates of each participant's IDP. Additionally, training budgets are allocated to each participating office to meet training needs. Participants who have completed requirements are given the opportunity by their First-Level Supervisor.	Positive

APPENDIX B

DOE/OH Statistical Summary of TQP/STSM Surveys

Questions	Responses		
	Yes	No	Not Sure
Do you have an IDP reflecting your technical training requirements?	26		
Does your Technical Qualification Record include a validated training record?	23		3
Has your technical skills and knowledge been increased as a result of your participation in the TQP?	13	9	4
Do you have site/job specific competencies?	20	6	
Are roles and responsibilities in the qualification process clearly defined?	13	8	5
Were you granted equivalencies based upon a review and verification of objective evidence such as transcripts, test scores, course certificates, degree verification, or on-the-job experience?	20	3	3
Do you feel that the TQP provides for continued training?	8	11	7

Notes: Forty participants were randomly selected to participate in the survey and twenty-six responded (approx. 65%).